



Institutional Assessment of PENTAGON, Tongo Fields

October 2004

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Sierra Leone
47 Wellington Street
Freetown - Sierra Leone
Phone: (232)-22-227-7241
Cell: 232-76-665-797
e-mail: dipam@sierratel.sl
www.peacediamonds.org



U.S.A.
600 Water St., SW
Washington, D.C.
(202) 484-7170
e-mail: mfanning@msi-inc.com
www.msiworldwide.com

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Introduction

PENTAGON is a community-based organization (CBO) dedicated to unity, development and peace in Tongo Fields. It is also an important member of the Peace Diamond Alliance. At the broadest level, the purpose of the Peace Diamond Alliance is to convert the diamond resource from a source of war and desperation to a foundation for peace and prosperity. This will be accomplished by demonstrating – in Tongo Fields and Kono District – that an alluvial diamond industry can “work.” That it can:

- ◆ Have a transparent, fair, and safe local market;
- ◆ Maximize benefits to local miners, diggers, and their communities;
- ◆ Track diamonds from earth to export;
- ◆ Minimize corruption and environmental degradation; and
- ◆ Mobilize local surveillance and mines monitoring.

More information can be found at www.peacediamonds.org.

As part of Management Systems International’s (MSI) www.msiworldwide.com overall Diamond Sector Reform Program (DSRP), and in support to the Peace Diamond Alliance, it facilitated PENTAGON’s self-directed institutional development program so that it will be a more effective member of the Alliance. Funding for this workshop was from the United States Agency for International Development (USAID), via Cooperative Agreement number 636-A-00-03-00003.

The first organizational self-assessment, was completed 5th October 2004, in Tongo. The process was guided by use of the Institutional Development Toolkit, which provides a methodology to help an organization assess its own institutional strengths and weaknesses.¹ Participants collectively assess an organization’s Vision/Oversight as well as its Management Resources, Human Resources, Financial Resources, and External Resources. Based on the results, and on agreement on areas of priority for attention by the organization, participants also decide which areas within the organization will be targeted in an institutional strengthening and develop an organizational improvement plan. The scoring can serve as a baseline against which the success of future institutional strengthening efforts can be measured in subsequent time intervals.

In addition to serving as a measurement tool, the Institutional Development Toolkit is intended as a way to encourage organizations to think consciously about their institutional capacity and to work constantly to improve it. PENTAGON is a relatively young organization with 30 dedicated members. Funds are being generated by the organisation’s activities, but not on a consistent basis. Staff members are unpaid and there is little in the way of physical resources. Considering how to improve the organisation was a novel concept to PENTAGON members and they had no prior experience in organizational management. They were, however, keen to learn more about the approaches embodied in the Toolkit and are committed to implementing the actions arising from the exercise.

¹ More information about the approach can be found in “An Integrated TOOLKIT for Institutional Development”, Public Administration And Development, Vol. 16, 469-483 (1996). The article can be accessed through the institutional strengthening section of www.msiworldwide.com.

The Process

PENTAGON members participating are listed in *Appendix A*. Kate Blacklock, of MSI, facilitated the workshop.

On Tuesday 5th October, an introduction to the exercise was made. The Facilitator led a discussion on why PENTAGON membership in the Peace Diamond Alliance was esteemed and why participation in the institutional strengthening program would be of value to PENTAGON. Following this the mechanics of the toolkit, *Appendix B*, was explained, including how it worked and how it could help PENTAGON strengthen itself in order to achieve results. Participants then divided into two groups to address different aspects of the Toolkit, gauging the status of PENTAGON along the different organizational measurement criteria.

It was necessary to have a translator in each group as command of English was restricted. A plenary session then enabled the group to reach consensus on the various components of institutional strengthening criteria and to document the rationale behind their decisions where they thought that would be necessary. The method used by the translator was a questioning technique based on the criteria set in the tool kit from the answers gained the translator and facilitator gauged where the organisation was along the continuum. This method proved to be effective, as participants appeared to avoid the common pitfall of over-estimating their organisation's capacity. The scoring and rationale is recorded in the Institutional Development Calculation Sheet (ICDS, presented in *Appendix D*.)

The Facilitator then led a session in which participants set priorities for improvement, and began to develop strategies for improving the areas identified as being of highest priority.

A Portrait of PENTAGON Institutional Capacity as of September 2004

Below, is a graphic representation of the institutional capacity of PENTAGON, as of October 2004, as determined by the members of PENTAGON, with the help of the Facilitator. Referred to as the Institutional Development Profile (IDP), it:

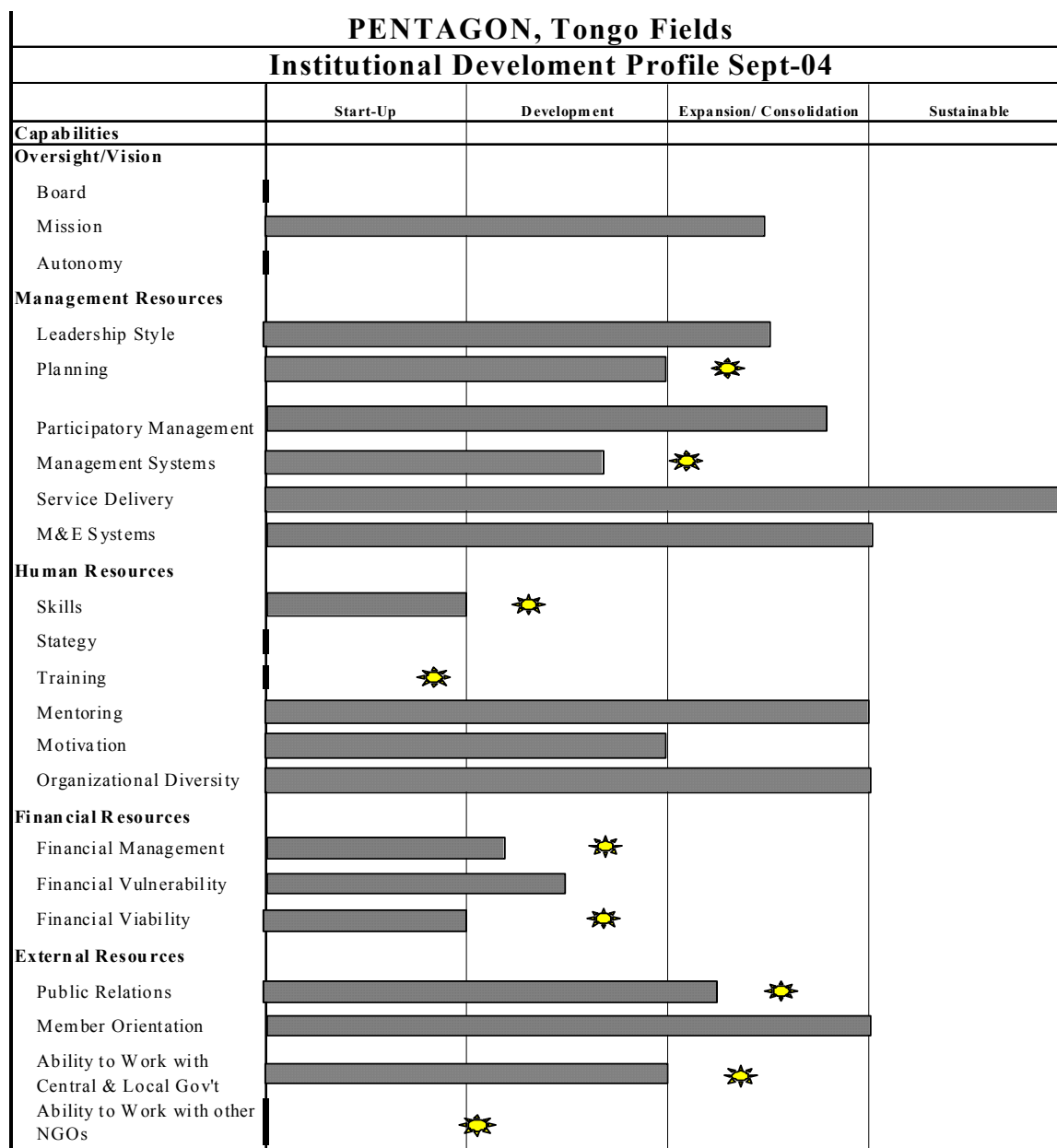
- ◆ Provides a graphic representation to PENTAGON members of the organization's strengths and weaknesses; and
- ◆ Provides a visual reminder of priorities for improvement.
- ◆ Indicates targeted improvement for the upcoming period ("suns" at the end of targeted rows.)

The IDP presents summary scores for various aspects of institutional development (the rows in the figure below), sorted by "Resource". The further a bar goes the right, the "higher" the organization scored. That is, the further along the continuum from a "start-up" to a "sustainable" organization PENTAGON is judged to be for a particular institutional aspect.

A cursory glance at the IDP reveals the following observations;

Oversight/Vision: the mission component of this resource area is relatively strong, however there is no board. With no donor funds, as specified by the criteria in the tool kit, the autonomy element is unable scored as zero along the continuum. The absence of an active board of directors impedes the ability of an organization to get funding which ultimately compromises the autonomy of the organization.

Management of Resources: this resource area is comparatively strong, with particular reference to leadership style, participatory management, service delivery and monitoring and evaluation, however planning and management systems remain in the development stage. The results suggest that PENTAGON is an organisation where – although decisions are made by staff members – communication channels are very strong, enabling full participation of constituents in decision making and also in program design. Systematic procedures may be in place, but may not be fully operational or are functioning informally.



Legend:

Baseline: as of Oct-04



Target for next period



Human Resources: the graph indicates that the Human Resource capacity of PENTAGON is the weakest of all the resource areas in the assessment. The strategy and training components are at the base line and the skills component is only in the start up stage. But, mentoring, motivation and organizational diversity extend in to the development stage and beyond. These results are consistent with an organization whose staff members are not necessarily skilled for the position they hold and have not had the opportunity to enhance their skills with training. This will have a negative affect on the components in other resource areas. The organization values its staff in an informal manner but has no long-term human resource strategy.

Financial Resources: the financial resource capacity of PENTAGON is relatively weak, despite the organisation's innovative ability to generate funds, which come from multiple sources, which helps explain the financial vulnerability element extending to development stage. However, both financial management and financial viability remain in start up stage along the continuum. This suggests that financial procedures are not fully systematic, partly because funds generated are small and dependent on local opportunities. Therefore, the organisation has little experience of putting the system to practice.

External Resources: The public relations, member orientation, and ability to work with local and central government components extend in to the development stage, with member orientation extending beyond in to consolidation stage. However, PENTAGON has no experience of working with other NGOs apart from PDA, accounting for the low scoring. Overall the external resource area indicates an organisation that until now has remained low-key with little exposure to media, local government, and NGOs.

This picture, with the accompanying ICDS (*Appendix D*), forms the baseline against which future institutional development will be measured. It would be advisable for PENTAGON to consider re-applying the Toolkit in a year to gauge the success of the institutional strengthening efforts.

Priorities for Improvement for the Next Six Months

After discussion, PENTAGON settled on the following areas for intensive attention during the next six-month to one-year time period:

- ◆ *Management Systems Improvement.* Participants felt that although systems existed within the organisation, many of them were informal. Therefore, a number of management systems needed to be established and formalized.
- ◆ *Creation of an operational task force to develop long term plans.* It was unanimously felt that planning in the future had to form an integral part of PENTAGON's management of resources. Planning in the past has been virtually non-existent, focusing primarily on the present, with little or no strategy. Strategic plans (short-, medium- and long-term) that have monitoring and evaluation devices will give the necessary momentum for PENTAGON to proactively gain public and donor recognition as well as enabling PENTAGON to pursue its mission.
- ◆ *Establish financial management systems.* PENTAGON is an unusual organisation in that it has been able to generate funds from multiple sources in an innovative way. However, financial procedures need to become more systematic, incorporating budgeting, controls, and external audits. PENTAGON has the financial savvy, which is a great attribute, but to attract external exposure financial procedures need to be evident.
- ◆ *Identify and implement a formal training program that focuses on core skills - management, accounting including monitoring and evaluation, planning and public relations - to enhance*

staff capacity to perform their tasks more effectively. It is evident that PENTAGON staff are highly motivated and committed to their organisation. However, duties are being performed by staff who have never been given any training. Training will enhance the capacity of staff members and give them the opportunity to run their organisation in a more systematic and accountable way.

- ◆ *Establish a public relations task force to enable PENTAGON to gain media exposure and to build relations with local and central government and NGOs.* PENTAGON is known in its own community and province but it is little known beyond. Collaborating with key decision makers and NGOs would enable PENTAGON to be more strategic in pursuing its mission.

Next Steps

Early discussions on the types of assistance indicated the following might be of assistance:

- ◆ More formal training in management, accounting, monitoring and evaluation, planning and public relations. This is a high priority as members have never had the opportunity of having any kind of training and, therefore, procedures undertaken are primarily learnt on-the-job and by default. Staff need to be given the opportunity to learn tried and tested procedures. It is likely that MSI could well provide this training;
- ◆ PENTAGON should develop a concrete improvement strategy – complete with work plan – with facilitation support from MSI.

Conclusion

The PENTAGON team made excellent progress during this time. Although the task was challenging, since it was something brand new, they felt it was well worth the effort.

While the workshop may be termed a “success” in obtaining a baseline for measuring the current status of PENTAGON’s institutional development and for introducing the team to many aspects of institutional development, the Facilitator did not feel that all participants uniformly grasped all the concepts contained in the Toolkit. This is natural. It is necessary to have some hands-on experience with things such as work plans, budgets, administrative manuals, and the like, before such technical matters make sense. We are confident, however, that it will be much clearer to the team when the Toolkit is used in subsequent sessions. At that time we may well discover that PENTAGON would like to modify certain aspects of the Toolkit to suit their needs. It was simply too early in PENTAGON’s development to make that a practical objective this time around.

Congratulations to the entire PENTAGON team for a job well done!

Appendix A: Participants in PENTAGON Institutional Assessment Exercise

Name	Title
Micheal Lamin	Chairman
Abdul Wahab	Vice chairman
Alison Bangura	Secretary
John Samai	Advisor
Said Bangura	Auditor
Abduraham k. Turay	
Joe Quee	Public Relations Officer
Tamba James	Public Relations Officer
Abdul Momoh	
Christiana Quee	
Aminata Said	
Alhaji L. Fotanata	
Mohamed Juana	
Mohamed Sheriff	
Thaimu Bangura	

Appendix B: Institutional Development Framework

PENTAGON Institutional Development Framework (October 2004)

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
OVERSIGHT/VISION					
<i>Aspect</i> Board	<i>Component</i> Board's Role	Roles of Board members and the relationship of Board members to the President are unclear.	Board members understand their role and how to relate to President.	Board members assist organization through access to key people and to other organizations.	Board members provide policy direction for action and overall programming.
	Active Board	Board is formally constituted, but not yet active partner.	Board becoming active partner. Contributes and pursues resources.	Board provides some leadership and committees formed, but only some active members.	Significant funds raised by Board and many members of Board play active role.
	Advancing Organization	Board selected based on initial enthusiasm of founding of organization, not necessarily on its long-term development.	Board members' skills do not match with growing needs of organization.	Board's skills match needs of the developing organization.	Board members are catalyst for long-term development of organization.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Mission		No Mission Statement. Group coalesces around general objectives, such as a commitment to development, or justice.	Mission Statement exists, but is not focused. Diverse portfolio of projects and proposals is not consistent with Mission Statement.	Mission Statement is clear and is generally consistent with portfolio. However, staff are not uniformly capable of articulating the Mission Statement and people outside organization may not identify it with the organization.	Clear Mission Statement. It can be articulated by Board and staff and is consistent with portfolio. Outsiders identify the same mission with the organization.
Autonomy		The organization is able to successfully advocate, on behalf of its members, to government, donor, and private sectors. PENTAGON is able to implement short-term projects.	Organization is able to respond to one long-term donor and the organization's Board, while still successfully advocating, on behalf of its membership, to government, donor, and private sectors	Organization is able to respond to two long-term donors and the organization's Board, while still successfully advocating, on behalf of its membership, to government, donor, and private sectors	Organization is able to respond to two long-term donors while still successfully advocating, on behalf of its members, to government, donors, and private sector.
MANAGEMENT RESOURCES					
<i>Aspect</i> Leadership Style	<u>Component</u> Board	All leadership emanates from core founder(s).	Leadership comes from core founder(s) and one or two Board members.	Vision increasingly comes from Board as Board members improve involvement.	All Board members contribute to leadership and development of the organization.
	Staff	Staff provide technical input only. Decisions taken by core founder(s).	One or two staff provide organizational impetus, in addition to President.	Staff increasingly provide vital drive to organization.	Organization would survive without current President or Board Members.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Planning	Mission/ Overview	Planning is predominately ad hoc and incremental.	Annual plans are developed and reviewed during course of year. Often not integrated into longer-term strategic plan.	Planning is expanded and more forward oriented, long term/strategic in nature and structured around Mission.	Based on Mission Statement, strategic plan development and annual plans continue as operative instruments with regular review of long term plans.
	Participation	Planning is top-down in orientation, President, and Board driven.	The participation of staff in planning is widened with contributions to decision making.	Members provide information for planning but beneficiaries excluded from decision making.	Constituents and staff contribute to planning <u>decisions</u> along with President /Board.
	Resource Implications	Objectives set without assessment of resource requirements, nor consideration of important external factors.	Accomplishment of objectives tied to resources, but important external factors still overlooked.	Plans are based on resources, and consideration of important external factors. But, organization does not review plan during implementation.	Annual and strategic plans are comprehensive and specific enough to permit accurate resource allocation, and flexible enough to be modified as warranted.
	Work Plan as Tool	Organization does not produce workplans.	Workplans are drafted, but seldom used by management and operations staff	Workplans are used by management and operations staff, but not viewed as dynamic instruments to be modified, as warranted.	Workplans are viewed by management and operations staff as useful tools and are modified as required.
Participatory Management	Appropriate Delegation	Decisions handed down to organization from President and Chairperson with little or no feedback.	Most management decisions taken by President and Board. Some input from one or two staff members.	Management decisions increasingly delegated to project managers.	Management decisions delegated to appropriate level of the organization.
	Transparent Decision-Making	Decisions handed down to organization from President without clear decision criteria and little or no feedback.	Management decision criteria used by President generally shared with Board, but other staff not included in process.	Decision-making is increasingly operationalized to become transparent to staff; some staff participation in actual decisions.	Transparent decision-making process; full staff participation in relevant decisions.
	Staff Participation	Staff roles and responsibilities unclear and changeable.	Staff roles better understood, but fragmented.	Staff understand role in organization more clearly and how to participate in management.	Staff increasingly able to shape the way in which they participate in management.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Participatory Management	Communication Flow	Communications among staff mostly through informal channels.	Emergence of formal channels for dialogue and decision making (such as staff meetings).	Communications are open and among different levels of hierarchy. Formal and informal channels established and utilized.	Organization periodically reviews communication flow to ensure free flow of information through both formal and informal channels.
Management Systems	Personnel Systems	No formal personnel systems (job descriptions, recruitment and hiring procedures, etc.) exist.	Some, but not all necessary, personnel systems exist. Informal employment practices persist.	Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used.	Formal personnel systems are institutionalized, understood by employees and redress can be pursued.
	File Systems	No formal file system exists.	Files are maintained, but are not comprehensive or systematic.	Files are systematic, and accessible, but significant gaps remain.	Files are comprehensive, systematic and accessible.
	Administrative Procedures	Few administrative procedures formalized, or, if formalized, not followed.	Administrative procedures increasingly formalized and followed but no operating manual exists.	Administrative manual in place, although not up to date or considered the arbiter of procedures.	Administrative manual updated, as needed. Considered the arbiter of procedures.
Service Delivery		Service delivery to members is determined by organization, often responding to the specifications of donors.	Type, quantity and quality of services delivered to members are at the initiative of the organization. However, little monitoring of service quality is undertaken. Member input into product design or quality review is <i>ad hoc</i> , if at all.	Organization makes consistent effort to obtain member input into determining the appropriate type, quantity and quality of services. Members' attitudes and perceptions are accessed, at least on an annual basis, to provide feedback into how to improve services.	Organization is committed to ongoing process of continuous quality improvement of services provided to members. Services are tailored in response to articulated member preferences and quality is continually monitored through customer feedback. Service delivery improvements are made based on this data.
Constituency Participation		Organization involves its members only as recipients of the organization's program.	Organization draws on its members' leaders for advice and mobilization of its members.	Organization draws on its members' leaders in planning, implementation and evaluation events.	Members participate fully in planning, implementation, and evaluation. Members contributing cash, material, labour, and management to create and maintain project results.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Monitoring and Evaluation	Integration into Decision Making	No formal evaluation mechanisms exist. Word of mouth and "gut" feelings are used.	Occasional evaluations are undertaken, usually at request of donor and implemented by outsiders.	Evaluation are initiated by staff; staff increasingly involved in their execution; some management decisions are taken based on data; monitoring and evaluation still isolated management function	Ongoing monitoring and evaluation system functioning and data analysis are integrated into decision- making.
	Member Feedback	No feedback from members.	Informal channels for member feedback.	Formal mechanisms exist for member feedback but only via surveys and evaluations. Women and marginalized groups not included.	Continuous feedback and input from members where women and marginalized groups are clearly involved.
HUMAN RESOURCES					
Skills		Too few people are filling too broad a range of professional skills.	Specialists are brought on (or contracted) for core skills areas, such as accounting and fundraising. Some gaps remain.	All core skills areas are covered with staff and external experts.	All skills areas are covered and staff/external experts are recognized for excellence and provide expertise and assistance to outside organizations.
Strategy		Human resource development is <i>ad hoc</i> and based on emerging opportunities.	General direction provided for staff development, but it is short-term and project based.	Staff development is based on needs assessment and an action plan exists. The plan is consistent with organizational mission.	Professional development is considered part of overall development of organization. It is supported by individual career development plans.
Training		Little, or no, training provided.	Training is significant, but is <i>ad hoc</i> in nature.	Training is generally consistent with plan, but is still not fully systematic or sufficient.	Actual training meets or exceeds specifications of individual career development plans.
Mentoring		Little or no coaching or counselling, provided.	Some coaching and counselling, provided.	Staff receive adequate teaching, counselling, coaching, and mentoring, but mutual staff development still not integrated into organization.	Internal professional support considered important part of each staff person's job.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Motivation		Little or no recognition of employee performance. Staff “burn-out” is common.	Performance recognized informally, but no formal mechanisms exists.	Formal performance appraisal system established.	Employees participate in objective setting and know what is expected of them.
Organizational Diversity		Organization has little consciousness of importance of, or interest in, diversity	Consciousness and interest increased, but still no policy regarding diversity	Organization expresses commitment to diversifying staff via formal policy	Active recruitment from traditionally disadvantaged groups for board and staff
FINANCIAL RESOURCES					
Aspects Financial Management	<u>Component</u> Planning	Budgets are set unrealistically. Budgets are developed incrementally on a project-by-project basis, usually only for donor funding.	Budgets are maintained on project-by project basis, but are not used as instrument for organizational decision making. Awareness of overall annual financial condition emerges.	Organization maintains a multi-year “master” organizational budget, but still does not manage finances accordingly.	Financial planning is based on a “master” organizational budget and includes overall financial condition in long-term organizational planning and management.
	Control	Financial resources are mainly controlled by donors. Internal controls are weak.	Financial procedures are established, but still are not fully systematic.	Financial procedures are systematic and established to support operational management. Documented procedures facilitate ongoing controls.	Control is an internal management function. Organization does not perceive controls as being excessive.
	Reporting	Financial reports are incomplete and difficult to understand. Organization often needs to be prodded to produce them.	Financial reports are clearer but still incomplete. Reports are project-specific and usually submitted on timely basis.	Financial reports are clear and complete, even as portfolio becomes more complex. Formal reports are regularly used in operational management.	Reports and data system can quickly provide a sense of overall financial health. Reports are always timely, trusted, and available to the public.
	Audits	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but aperiodically.	External audits are performed with a regular, and appropriate, frequency.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Financial Management	Separation of Accounts	Funds are not separated for different projects within the organization.	Project funds are separated only when required by donors.	Standard procedure is to avoid cross-project financing . All funds are separated, but occasional cross-project financing occurs.	All project funds are separated and adequate controls exist to avoid cross-project financing.
Financial Vulnerability	Funding Diversity	Financing comes from only one source.	Financing comes from multiple sources, but 70% or more from one source.	No single source of funding provides more than 60% of funding.	No single source provides more than 40% of funding.
	Local Resource Mobilization	Local resource mobilization (including goods and services) for operational income is untried or unsuccessful.	Local resource mobilization pursued on an <i>ad hoc</i> , basis.	Local resource mobilization strategy is operational	Local resource mobilization strateg is operational. X% of annual expenditures generated from local resources.
Financial Viability		Project funding is scarce and is dependent on local opportunities.	Funding is available to cover project activities, consistent with mission.	Funding is available for short-term costs. Medium-term funding strategies exist.	All projects, consistent with mission, have long-term funding plans and current funds are adequate to meet needs of management plan.
EXTERNAL RESOURCES					
<u>Aspect</u> Public Relations	Component Public Recognition	Organization little known outside the range of its donors and direct beneficiaries.	Organization is known in its own community, but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a supportive constituency, and commands respect outside that constituency.

Resources		CRITERIA FOR EACH PROGRESSIVE STAGE			
		Founding	Developing	Expanding/ Consolidating	Sustaining
Public Relations	Media Strategy	Organization makes little use of media, perhaps preferring to maintain a low profile. Occasionally, press will initiate encounters. No established mechanisms for communication.	Organization begins to seek out media exposure. Usually based on publicizing specific compartmentalized project events.	Organization able to gain access to media through formal and informal mechanisms. Exposure of organization to media frequent, but not yet strategic.	Organization uses its established media relationships for frequent and effective public communication. A media strategy exists and attempts are made to both make the organization known and to foster a broader public awareness in support of the Mission.
Member Orientation		Organization operates in centralized manner with little connection to membership.	Organization serves members based on perceptions/assessment, but without active constituency involvement.	Member input sought for key decisions. Organization and its efforts viewed by constituency as service provided to constituency.	Constituency integrated into organization's policies and practices.
Ability to work with central and local government		Viewed as "we", "they". Little communication. Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but still not as equal partners.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as equal partners.
Ability to work with other NGOs.		Organization does not have experience working with other NGOs. Not known or trusted by NGO community.	Organization increasingly known and trusted by NGO community. Experience with collaboration based on project implementation requirements only.	Organization works with international or local NGOs, and participates in NGO networks and coalitions. Networks and coalitions are based on constituency needs.	Organization plays leadership role in promoting NGO coalitions based on constituencies' interests. Capable of helping to resolve NGO-NGO or NGO Govt conflict and of affecting policy on behalf of constituency

PENTAGON INSTITUTIONAL STRENGTHENING TIME FRAME

PENTAGON TIME FRAME		Institutional Development Activities						
Resource Area/ Component	Result	Completion date Month 1	Completion date Month 2	Completion date Month 3	Completion date Month 4	Completion date Month 5	Completion date Month 6	Ongoing
Management Resources/Management Systems	Formal management system procedures in place, implemented & reviewed; formal personnel system established(job descriptions & hiring procedures), filing system comprehensive and kept up-to-date and administrative operating manual created/Bye laws	- Identify a task force to undertake review of present management system in place - Identify the needs for a formal system	Task force write job descriptions of committee members, PENTAGON operating manual/Bye laws established	- Drafts approved of by members and final 'information package' created - Present filing system up dated and where gaps exist a reporting system established	Management system procedures are announced/made available to all PENTAGON members – approved, amended if necessary - and implemented by those concerned		Review of management system procedures	Filing system maintained
Management Resources/Planning	Effective Planning Body established	Identification of active and competent members	Training Workshop required to increase planning capacity	Task Force to: develop strategy identify & structure goals (short, medium and long term) establish review mechanism set milestones	Create Work Plan to achieve goals			Review & evaluate progress
Financial Resources/Financial Management	Financial procedures established, documented and operational	Review current procedures Training workshop accounting	Formulate and document systematic financial procedures	Implement procedures			Carryout external Audit	Review & evaluate procedures

Management of Human Resources/Training	Competency of staff members in core areas, management, accounting , monitoring & evaluating & public relations increased	-Review & revise job descriptions -Identify training needs of members of staff conducting individual interviews	Evaluate training needs & tailor appropriate training material, establish training schedule and formal appraisal system	Initiate training – work shops	Implement skills learnt			On the job mentoring Trained staff cascade their skills to other staff members
External Resources/ability to work with central & local govt. and other NGOs	PENTAGON promotes its activities and is known in NGO community (international & national) & at local govt level.	Establish a public relations task force Workshop on Public relations /& proposal writing	-Identify project opportunities -Plan a public relations strategy using formal & informal mechanisms, initiate meetings with NGOs	Create an information package on PENTAGON using constitution as a basis and detailing projects carried out	Initiate public relations strategy, commence proposal writing	Submit proposals Continue public relations exercise & media exposure of PENTAGON, follow up proposals		Public relations strategy/ networking Review & evaluate progress

PENTAGON INSTITUTIONAL STRENGTHENING RESOURCE REQUIREMENTS

Resources required	External Manpower and Skills						
Resource Area/ Component	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Ongoing
Management Resources/Management Systems	Mentor	Mentor					
Management Resources/Planning		Workshop (MSI)	Mentor	Mentor			
Financial Resources/Financial Management	Workshop (MSI)	Mentor				External financial auditor	
Management of Human Resources/Training	Mentor	Mentor	Workshops (MSI)	Mentor			
External Resources/ability to work with central & local gov. and other NGOs	Workshop	Mentor	Mentor & workshop (MSI)	Mentor			

Resources required	Physical Resources						
Resource Area/ Component	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Ongoing
Management Resources/Management Systems	Office facilities & Materials	Office facilities & Materials	Office facilities & Materials	Office facilities & Materials			Office materials
Management Resources/Planning			Office facilities & Materials	Office facilities & Materials			
Financial Resources/Financial Management	Office facilities & Materials	Office facilities & Materials					Office materials
Management of Human Resources/Training	Office facilities & Materials	Office facilities & Materials	Office facilities				Office materials
External Resources/ability to work with central & local gov. and other NGOs	Office facilities	Office facilities & Materials	Office facilities & Materials	Office facilities & Materials			Office materials

Appendix C: Institutional Strengthening Proposal Format

ORGANIZATION: PENTAGON

Assessment details:

5th October 2004, PDA office, Tongo Fields, Sierra Leone

Participants in Assessment:

See attached report

Summary of Organizational Assessment Results:

- ◆ *Management Systems Improvement.* Participants felt that although systems existed within the organisation many of them were informal, therefore a number of management systems needed to be established and formalized.
- ◆ *Creation of an operational task force to develop long term plans.* It was unanimously felt that planning in the future had to form an integral part of PENTAGON's management of resources. Planning in the past has been virtually non-existent, focusing primarily on the present therefore with little or no strategy. Strategic plans (short, medium and long term) that have monitoring and evaluation devices will give the necessary momentum to PENTAGON for it to proactively gain public and donor recognition as well as enabling PENTAGON to pursue the mission of their organisation.
- ◆ *Establish financial management systems.* PENTAGON is an unusual organisation in that it has been able to generate funds from multiple sources in an innovative way. However, financial procedures need to become more systematic, incorporating budgeting, controls and external audits. PENTAGON has financial savvy, which is a great attribute, but to attract external donors and media exposure, financial procedures need to be evident.
- ◆ *Identify and implement a formal training program that focuses on core skills - management, accounting including monitoring and evaluation, planning and public relations - to enhance staff capacity to perform their tasks more effectively.* It is evident that PENTAGON staff are highly motivated and committed to their organisation. However, duties are being performed by staff who have never received training. Training would enhance the capacity of staff members and give them the opportunity to run their organisation in a more systematic and accountable way.
- ◆ *Establish a public relations task force to enable PENTAGON to gain media exposure and to build relations with local and central government and NGOs.* PENTAGON is known in its own community and province but it is little known beyond. Collaborating with key decision makers and NGOs would enable PENTAGON to use increased strategic means to support its mission.

A. Organizational Assessment Status and Targets

Resources		Founding	Developing	Expanding/ Consolidating	Sustaining
Aspect					
Oversight/ Vision	Board				
	Mission				
	Autonomy				
Management of resources	Leadership style				
	Planning			☺	
	Participatory Management				
	Management Systems			☺	
	Service Delivery				
	M&E Systems				
Human Resources	Skills			☺	
	Strategy				
	Training				
	Mentoring				
	Motivation				
	Org. Diversity				
Financial Resources	Financial Management			☺	
	Financial vulnerability				
	Financial Viability		☺		
External Resources	Public relations			☺	
	Member Orientation				
	Work with Cent & local Gov.		☺		
	Work with N.G.O.s		☺		

Cell description for the current (baseline) Institutional development profile

Institutional development targets (priorities)

Institutional Strengthening Approach

Overall approach to Institutional Development

2. Tactics for institutional development, by Resource Area

Resource Area /Component: **Management Resources/Management Systems**

Result	Institutional Development Activities	Resource Needs	Source	Completion date
Formal management system procedures in place, implemented & reviewed; formal personnel system established(job descriptions & hiring procedures), filing system comprehensive and kept up-to-date and administrative operating manual created/Bye laws	-Task force identified to review current management systems -Review current systems	Labour, Office facilities; stationary, computer, printer, office space	MSI	Month 1
	Job descriptions executive committee written, PENTAGON operating manual/bye laws established and written	Labour, Office facilities; stationary, computer, printer, office space	PENTAGON	Month 2
	Filing systems reviewed and reporting system established	Labour, Office facilities; stationary, computer, printer, office space	PENTAGON	Month 3
	Review of procedures		PENTAGON	Month 6
Totals:				

Resource Area /Component: **Management of Resources/Planning**

Result	Institutional Development Activities	Resources Needed	Source	Completion date
Effective planning body established	Identification of members	Labour, Office facilities	PENTAGON	Month 1
	Training work shop 'planning'	Training workshop on planning, Office facilities	MSI	Month 2
	Planning task force develop short, medium & long term goals with review system and mile stones	Labour, Office facilities, Office materials; - stationary, computer, printer	PENTAGON and MSI support	Month 3
	Create Work Plan to achieve goals	Office facilities, Office materials; - stationary, computer, printer	PENTAGON and MSI support	Month 4
Totals:				

Resource Area /Component: **Financial Resources/Financial Management**

Result	Institutional Development Activities	Resources Needed	Source	Completion date
Financial procedures established, documented and operational	Review current procedures Training workshop on accounting			Month 1
		Labour, Office facilities, Office materials; - stationary, computer, printer	PENTAGON/ MSI	
	Formulate & document systematic financial procedures	Labour, Office facilities, Office materials; - stationary, computer, printer	PENTAGON	Month 2
	External financial audit		PENTAGON	Month 6
Totals:				

Resource Area /Component: **Management of Human Resources/training**

Result	Institutional Development Activities	Resources Needed	Source	Completion date
Competency of staff members in core areas, management, accounting, monitoring & evaluating & public relations increased	-Review & revise job descriptions - Select & Identify training needs of members of staff by conducting individual interviews			Month 1
		Labour Office facilities, Office materials; - stationary, computer, printer	PENTAGON & MSI	
	Evaluate training needs, tailor appropriate training, establish training schedule and formal appraisal system	Labour Office facilities, Office materials; - stationary, computer, printer	MSI PENTAGON	Month 2
	Initiate training – work shops, on the job mentoring	Office facilities	MSI	Month 3
Totals:				

Resource Area /Component: **External Resources/ability to work with central & local govt. and other NGOs**

Result	Institutional Development Activities	Resources Needed	Source	Completion date
PENTAGON promotes its activities and is known in NGO community (international & national) & at local govt level.	Establish a public relations task force			Month 1
	Workshop on public relations/proposal writing	Labour Office facilities, Office materials; - stationary, computer, printer	PENTAGON MSI	
	Identify project opportunities & plan public relations strategy	Labour Office facilities, Office materials; - stationary, computer, printer	PENTAGON	Month 2
	Compile a PENTAGON information package	Labour Office facilities, Office materials; - stationary, computer, printer	PENTAGON	Month 3
	Initiate public relations strategy Commence proposal writing	Labour Office facilities, Office materials; - stationary, computer, printer	PENTAGON	Month 4
	Submit proposals	Labour/transport	PENTAGON	Month 4
	Review public relations strategy	Labour	PENTAGON	Month 6/ongoing
Totals:				

Appendix D: Institutional Development Calculation Sheet

PENTAGON, Tongo Fields

Oct-04

Organization:

Date

Resource Aspect	Key Components	Oct-04	Comments
Board	Board's Role	0.00	No board
	Active Board	0.00	
	Advancing the Organization	0.00	
		0.00	
Mission		2.50	Mission statement is clear
		2.50	
Autonomy		0.00	No donor income, relies on self generated income
		0.00	
Leadership Style	Board	1.00	
	Staff	4.00	
		2.50	
Planning	Mission/Overview	1.00	No formal strategic plans
	Participation	2.00	Voting takes place for any decision and the majority decision holds
	Resource Implications	3.00	
	Work Plan as Tool	3.00	
		2.00	
Participatory Management	Appropriate Delegation	2.00	The general group input comes from voting

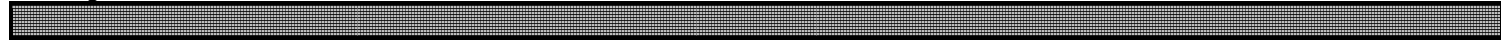
	Transparent Decisions	4.00	
	Staff Participation	4.00	
	Communication Flow	3.00	
		2.75	
Management Systems	Personnel Systems	1.00	
	File Systems	2.00	
	Administrative Procedures	2.00	The constitution is the operating manual
		1.67	
Service Delivery		4.00	
		4.00	
Constituency Participation		4.00	
		4.00	
M&E Systems	Integration into Decisions	2.00	Receipt system exists & internal auditor no formal system in place
	Member Feedback	4.00	Chairman is also subject to fines if membership feedback is not satisfactory
		3.00	
Staff Development	Skills	1.00	Staff members no specific skills for their position - skills learnt on-the-job
	Strategy	0.00	No strategy exists
	Training	0.00	Staff have not had the opportunity for any kind of training
	Mentoring	3.00	Staff receive coaching from other staff members & receive regular feedback from members
	Motivation	2.00	
	Organizational Diversity	3.00	Anyone can join PENTAGON but have to under go a screening test.
		1.50	
Financial management	Planning	2.00	Basic budgeting, projections made & money reinvested from micro-credit

	Control	3.00	scheme, shows.
	Reporting	2.00	Records kept in a ledger
	Audits	0.00	Only internal audits carried out
	Separation of Accounts	1.00	Funds kept in one 'pot'
		1.60	
Financial Vulnerability	Funding Diversity	4.00	Funds coming from interest generated from micro credit scheme, trading, mining, pop shows/dances held
	Local Resource Mobilization	3.00	
		3.50	
Financial Viability		1.00	
		1.00	
Public Relations	Public Recognition	2.50	Organisation registered interact with all social groups in kenema, cordial with chiefs
	Media Strategy	2.00	Radio kailahun, Kenema -only when running programmes
		2.25	
Member Orientation		3.00	
		3.00	
Ability to work with central and local gov't		2.00	Informal relationship
		2.00	
Ability to work with other NGOs		0.00	Has had no experience of working with any NGO. Has had contact with World Vision & talking Drums
		0.00	
Total Placement		33.27	

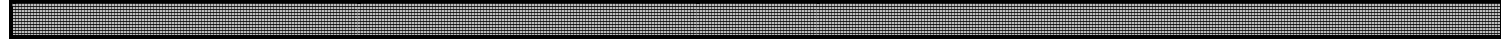
Average Placement	1.96
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Summary of Average Placement Change, by Management Resource

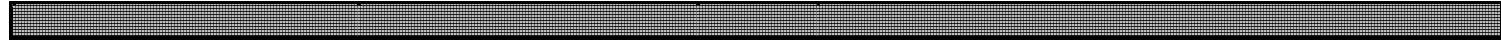
Oversight/Vision	0.83
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Management	2.65
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Human Resources	1.50
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Financial	2.03
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External	1.81
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